

#13



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/767,365         | 01/22/2001          | Sheng Liang           | 22271-05227            |

00758

FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO, CA 94306

CONFIRMATION NO. 2538

FORMALITIES LETTER



\*OC000000005820161\*

Date Mailed: 03/02/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$320.
  - \$320 for 4 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1160.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

06/20/2001 AZERGAH1 00000001 09767365

355.00 DP  
65.00 DP  
160.00 DP

01 FC:201  
02 FC:205  
03 FC:202

*A copy of this notice MUST be returned with the reply.*

*ut*

---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



N Sector #  
PATENT #4

IN THE UNITED STATES

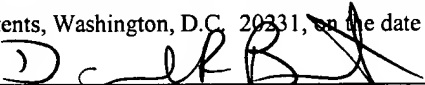
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Sheng Liang *et al.*  
APPLICATION NO.: 09/767,365  
FILING DATE: January 22, 2001  
TITLE: SCALABLE DERIVATIVE SERVICES  
EXAMINER: Unknown  
GROUP ART UNIT: 2151  
ATTY. DKT. NO.: 22271-05227

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 6/14/01

By:   
Daniel R. Brownstone, Reg. No.: 46,581

BOX MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION

SIR:

Responsive to Notice to File Missing Parts dated [MAILING DATE OF NOTICE]  
received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ two original, signed Declarations;
- ☒ five original, signed Power of Attorney;
- ☐ an Application Data Sheet;

06/20/2001 AZERGAW1 00000001 09767365


04 FC:216

195.00 OP

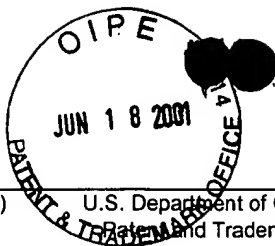
- ☒ payment in the amount of \$775.00 for the
  - ☒ application filing fee;
  - ☒ fee for additional claims; and
  - ☒ missing parts surcharge.
- ☒ Two month extension of time to respond to the Notice of Missing Parts.
- ☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,  
SHENG LIANG, HONG ZHANG, ABHISHEK  
CHAUHAN, RAJIV MIRANI AND OLIVER  
CHANG

Dated: 6/14/01.

By:   
Daniel R. Brownstone, Reg. No.: 46,581  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (415) 875-2358  
Fax.: (415) 281-1350

22271/05227/SF/5051798.1



PTO/SB/17 (10-00)(modified)  
Approved for use through 09/29/01, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)  
Rev. 10/2000

U.S. Department of Commerce  
Patent and Trademark Office

## FEE TRANSMITTAL

### TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$775.00)**

### Complete if Known

|                        |                    |
|------------------------|--------------------|
| Application Number     | 09/767,365         |
| Filing Date            | January 22, 2001   |
| First Named Inventor   | Sheng Liang et al. |
| Group Art Unit         | 2151               |
| Examiner Name          | Unknown            |
| Attorney Docket Number | 22271-05227        |

### METHOD OF PAYMENT

#### 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.<sup>†</sup>
- ☒ Applicant claims small entity status  
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

#### 2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Other

### FEE CALCULATION (fees effective 10/01/2000)

#### 1. FILING FEE

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description    | Fee Due        |
|------------------------------|------------------------------|--------------------|----------------|
| 101/\$710                    | 201/\$355                    | Utility Filing     | <b>355</b>     |
| 106/\$320                    | 206/\$160                    | Design Filing      |                |
| 108/\$710                    | 208/\$355                    | Reissue            |                |
| 114/\$150                    | 214/\$75                     | Provisional Filing |                |
| <b>SUBTOTAL (1)</b>          |                              |                    | <b>(\$355)</b> |

#### 2. CLAIMS

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description   |
|------------------------------|------------------------------|---|
| 103/\$18                     | 203/\$9                      | Claims in excess of 20                                  |
| 102/\$80                     | 202/\$40                     | Independent claims in excess of 3                       |
| 104/\$270                    | 204/\$135                    | Multiple dependent claim                                |
| 109/\$80                     | 209/\$40                     | Reissue independent claims over original patent         |
| 110/\$18                     | 210/\$9                      | Reissue claims in excess of 20 and over original patent |

#### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code/Fee | Small Entity<br>Fee Code/Fee | Fee Description  | Fee Due    |
|------------------------------|------------------------------|--|------------|
| 105/\$130                    | 205/\$65                     | Surcharge - late filing fee or oath  | <b>65.</b> |
| 127/\$50                     | 227/\$25                     | Surcharge-late provisional filing fee or cover sheet                       |            |
| 147/\$2,520                  | 147/\$2,520                  | For filing a request for reexamination                                     |            |
| 115/\$110                    | 215/\$55                     | Extension for response within first month <sup>†</sup>                     |            |
| 116/\$390                    | 216/\$195                    | Extension for response within second month <sup>†</sup>                    | <b>195</b> |
| 117/\$890                    | 217/\$445                    | Extension for response within third month <sup>†</sup>                     |            |
| 118/\$1,390                  | 218/\$695                    | Extension for response within fourth month <sup>†</sup>                    |            |
| 128/\$1,890                  | 228/\$945                    | Extension for response within fifth month <sup>†</sup>                     |            |
| 119/\$310                    | 219/\$155                    | Notice of Appeal   |            |
| 141/\$1,240                  | 241/\$620                    | Petition to revive unintentionally abandoned application                   |            |
| 142/\$1,240                  | 242/\$620                    | Utility Issue Fee (Or Reissue)   |            |
| 143/\$440                    | 243/\$220                    | Design Issue Fee   |            |
| 122/\$130                    | 122/\$130                    | Petitions to the Commissioner  |            |
| 126/\$180                    | 126/\$180                    | Submission of Information Disclosure Statement                             |            |
| 179/\$710                    | 279/\$355                    | Request for Continued Examination (RCE)                                    |            |
| 581/\$40                     | 581/\$40                     | Recording each patent assignment per property (times number of properties) |            |
| 146/\$710                    | 246/\$355                    | Filing a submission after final rejection (37 CFR 1.129(a))                |            |
| 149/\$710                    | 249/\$355                    | For each additional invention to be examined (37 CFR 1.129(b))             |            |

Other fee (specify):

Other fee (specify):

**SUBTOTAL (3)** **(\$260.)**

| (Col. 1)   |                        | (Col. 2) |                                 | (Col. 3) |         | Fee | Fee Due |
|--|------------------------|----------|---------------------------------|----------|---------|-----|---------|
| For  | No. of Existing Claims | minus*   | Highest No. Previously Paid For | =        | Extra** |     |         |
| TOTAL  | 14                     | minus*   | 20 or 0                         | =        | 0       | x   | =       |
| INDEP  | 7                      | minus*   | 3 or 0                          | =        | 4       | x   | =       |
| [ ] First presentation of multiple dependent claim |                        |          |                                 |          |         |     |         |

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

**SUBTOTAL (2)** **(\$160.)**

#### SUBMITTED BY

Typed or Printed Name **Daniel R. Brownstone**

Signature

#### Complete (if applicable)

Reg. Number **46,581**

Date

**6/14/01**

22271/05227/SF/5040120.1

<sup>†</sup> Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby